

APPLICATION FOR RECORDS RETENTION SCHEDULE

GEORGIA DEPARTMENT OF HUMAN RESOURCES
OFFICE OF ADMINISTRATIVE SERVICES
RECORDS MANAGEMENT UNIT

For instructions on completing this form contact DHR Records Management Unit, 47 Trinity Avenue, Atlanta, Georgia 30334. Phone - (404) 656-4976 GIST: 221-4983

| | | | | | |
|--|--|---|--|---|--|
| DHR Application Date March 1, 1983 Application Number 83-3 | | 1. GEORGIA DEPARTMENT OF HUMAN RESOURCES Division of Family & Children Services State Placement Unit 618 Ponce de Leon Avenue, N.E. Atlanta, Georgia 30308 | | ARCHIVES AND HISTORY Application Number 73-336-A Date Received MAR 2 1983 Date Completed MAR 31 1983 | |
| 2. Person to Contact Edith K. Horne | | Working Title Adoptions Reviewer | | Telephone Number 894-4466 | |
| 3. Action Requested a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input checked="" type="checkbox"/> Amend Application No. 73-336-A Check One: <input type="checkbox"/> Change; <input checked="" type="checkbox"/> Supersede; <input type="checkbox"/> Void -change retention period and procedures -revise document contents of each file. | | | | | |
| 4. Dates of Series Earliest 1921 Latest Continuing | | 5. Records Series Title (followed by title used in office, if different) Closed Adoption Case Files | | | |
| 6. Division and Office Function What is the function of the Division and the Office in which this record series is created? The Division of Family and Children Services, through the leadership of the Director is responsible for the administration, coordination, supervision and regulation of services provided for children and families State wide. The Division serves as liaison with the Regional Office of DHHS; coordinates and works within the DHR and its Divisions on matters of mutual interest and to resolve problems. The State Placement Unit has the responsibility to maintain all of the permanent adoption records processed in the State of Georgia and ensuring their protection. This responsibility, in addition to the service connected activity regarding the protection of records, is mandated by law. (GA. Code: 19-8-81) | | | | | |
| 7. Records Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: investigating, evaluating and planning for children and families who are involved in the adoption process. Included are: forms and reports containing information about a family who has made application to adopt and information about the child who has been adopted. See attached list describing forms and reports contained in each case file. File is arranged: numerically by number assigned by State Placement Unit: Exceptions: Case files from Fulton County and any private agency may be in alphabetical order. | | | | | |
| 8. Monthly Reference Rate How often are records referred to which are: One to six months old _____ ; Seven to twelve months old _____ ; Thirteen to twenty-four months old _____ ; twenty-five months and older _____ ? Unlikely there would be a need to refer to security film , | | | | | |
| 9. Annual Rate of Accumulation or Records need might occur for reference to paper records within 12 month time frame. Letter-size drawers _____ ; Legal-size drawers _____ ; Shelves _____ ; Other (Specify) 25-30 cubic feet estimated | | | | | |

| YES | NO | 10. Questionnaire (Place an "X" in the proper column) |
|-----|----|---|
| X | | a. Is this the official copy of the series? If not, where is it? |
| X | | b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation. Georgia Adoption Act of 1977 |
| X | | c. Is this a vital record? |
| X | | d. Does this series have historical or long term research value? |
| | X | e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately? |
| | X | f. Is the information contained in this series ever published? If yes, attach copy. |
| | X | g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy. |
| | X | h. Is there a duplication of this series in your office, or in another office or agency? If yes, where? |
| X | | i. Is this series (or a major portion of it) regularly microfilmed? |
| | X | j. Does the record series result in a computer printout? |

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|-----------------------------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | record center <u>100</u> years. * |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ years. |

*permanent retention in archives after this time period.

Attach copy or excerpt of laws or regulations. Explain administrative need.

See attached excerpt from GA. Code 19-8-18.

OCGA 19-8-18.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☒ Other _____ then,

- ☐ Hold in the current files area _____ month(s) _____ year(s); then
- ☐ Transfer to local holding area; hold _____ year(s); then
- ☐ Transfer to State Records Center; hold _____ year(s); then
- ☐ Destroy
- ☐ Transfer to State Archives for permanent retention.
- ☒ Other (Specify)

Beginning December 1, 1982

12. Active Records Files

(consist of child's history and
(history of adoptive applicant(s))

County Files

Upon notice of action taken on an adoption, transfer all contents to the State Placement Unit.

(#12 continues on attached sheet

These instructions apply to all prior and future accumulations of the series.

| Agency Head/Designee (Signature) | Date | Records Management Officer (Signature) | Date |
|--|-----------------------------|--|---------|
| <i>Gerardine Jackson</i> | 3/1/83 | <i>Elizabeth H. Crank</i> | 3/1/83 |
| <i>Chief, State Placement Unit</i> | | <i>Records Management Analyst</i> | |
| | | State Records Committee (Signature) | Date |
| Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.) | State Auditor/Designee | <i>Thomas A. Small</i> | 3-25-83 |
| | Secretary of State/Designee | <i>Edward Weidman</i> | 3/18/83 |
| | Attorney General/Designee | <i>Suzanne Hager</i> | 3-29-83 |

State Placement Unit

When Petition for Adoption is received from a Superior Court in Georgia, combine all records concerning a particular case into an Adoption File.

When a Notice or an Order of Disposition is received from the Court, close the case and place in the closed adoption case file.

Closed Records Files

Cut off accumulation of paper records each year June 30th and December 31th, ending with the highest numbered case file at the cut-off date; (cases with a lower case number, closed before microfilming begins may be added in numerical order) microfilm the records, making an original and one copy; verify the film to assure that no documents are missing and the images are clear.

Paper Records

After verifying accuracy of the microfilm, transfer to the State Records Center; hold 1 year; then destroy.

Microfilm

Original (security copy)

Transfer immediately to the State Records Center for storage in the atmospherically-controlled vault at the Archives, to remain the property of DHR officials who have responsibility for adoptions; hold 100 years; then transfer to the State Archives for permanent retention. Security film will be used only to produce reference duplicates.

Duplicate copy

Hold in Adoption Unit until superseded, obsolete, or no longer needed for reference; then destroy.

Photographs

(of children removed from folder when records are prepared for microfilming) Microfilming does not reproduce pictures satisfactorily. Hold in Adoptions Unit secured file area; properly identified by numerical or alphabetical order, and by period the paper files were microfilmed: to be released as ordered by the Court and given to the adopting family. For any remaining photographs, hold 100 years, then destroy.

Description of Records

The final records will contain the following forms and reports:

Forms

1. Case Identification Face Sheet
2. Superior Court Order or Action
3. Forms 419, 420 Child's Social History
4. Form 2 Infant and Child Health Record
5. Copy of Birth Certificate Form 3901
6. Form 452 Contact Sheets Evidence of Efforts to Locate Parties
7. Form 573 Parent's Surrender of Child for Adoption
8. Form 577 Parent's Acknowledgement of Surrender
9. Form 578/579 Mother's Affidavit Regarding Legal/Putative Father(s)
10. Form 576 Affidavit of Agency Representation
11. Form 33/37 Placement Agreement
12. Form 416 Consent and Release of Child for Adoption by the State
13. Form 35 Application for Adoption
14. Form 36 Medical Report
15. Attorney's Request of Child's Release
16. Form ICPC 100A (If Applicable) (Form 97) Interstate Compact on the Placement of Children
17. Form ICPC 100B (If Applicable) (Form 96) Interstate Compact on the Placement of Children
18. Adoption Petition
19. Form 476 Adoption Supplement Application
20. Forms 39, 41, 53 Development of Child

Reports

1. Original DFCS or Private Agency Court Report
2. Medical and Psychological Reports and Correspondence
3. Supplemental Medical Report
4. Financial Reports
5. Discussion of Child with Prospective Adoptive Family
6. Placement Narrative
7. Adoption Home Study and Correspondence
8. Social History Narrative

(Over)

| YES | NO | 10. Questionnaire (Place an "X" in the proper column) |
|-----|----|--|
| | | a. Is this the official copy of the series? If not, where is it? |
| | | b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation. |
| | | c. Is this a vital record? |
| | | d. Does this series have historical or long term research value? |
| | | e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately? |
| | | f. Is the information contained in this series ever published? If yes, attach copy. |
| | | g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy. |
| | | h. Is there a duplication of this series in your office, or in another office or agency? If yes, where? |
| | | i. Is this series (or a major portion of it) regularly microfilmed? |
| | | j. Does the record series result in a computer printout? |

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|--------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | _____ years. |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☒ Other See Below then,

- ☐ Hold in the current files area _____ month(s) _____ year(s); then
- ☐ Transfer to local holding area; hold _____ year(s); then
- ☐ Transfer to State Records Center; hold _____ year(s); then
- ☐ Destroy
- ☐ Transfer to State Archives for permanent retention.
- ☒ Other (Specify)

Cut off file at the end of each calendar year; then hold in office 3 years, then microfilm record. Transfer microfilm security copy to State Records Center (for storage in atmospherically-controlled microfilm vault); hold 97 years; then transfer to State Archives for permanent retention.

Microfilmed paper documents - Transfer to the State Records Center, hold for three years until microfilm can be verified by Unit, then destroy.

These instructions apply to all prior and future accumulations of the series.

| Agency Head/Designee (Signature) | Date | Records Management Officer (Signature) | Date |
|----------------------------------|-----------------|--|-----------------|
| <i>Edith G. Horne</i> | <i>12-13-79</i> | <i>W.J. M. P. O. A.</i> | <i>12-13-79</i> |

| State Records Committee (Signature) | Date |
|---|-----------------|
| State Auditor/Designee <i>[Signature]</i> | <i>12-27-79</i> |
| Secretary of State/Designee <i>Carroll Hart</i> | <i>12-21-79</i> |
| Attorney General/Designee <i>[Signature]</i> | <i>12-28-79</i> |

Recommendations in paragraph 12 are approved.
(If disapproved, attach letter of explanation.)

Application for
RECORDS DISPOSITION STANDARD

Application Date

February 8, 1973

Agency Application No.

HR-CS-2

INSTRUCTIONS

See separate instructions for completion of front and reverse of this form. Sign original and two copies and forward to Department of Archives and History, Attention: Records Management Officer.

FOR RECORDS MANAGEMENT DIVISION USE

Date Received

Application No.

Date Completed

MAY 8 1973 73-336 MAY 10 1973

Person to Contact

Mrs. Ann Hunter

Working Title

Chief

Tel. No.

656-4479

Department of Human Resources
Division of Community Services
Field Services Unit Adoptions Section
7 Trinity Ave
Atlanta, Georgia 30334

ACTION REQUESTED

☒ ESTABLISH DISPOSITION STANDARD;
RECORD WILL CONTINUE TO ACCUMULATE. ☐ DISPOSE OF PRESENT ACCUMULATION;
NO FURTHER ACCUMULATION ANTICIPATED.Earliest & Latest
Dates of Series

9. Exact Series Title

21 to present

Closed Adoption Case File

What is the function of the office in which this record series is created?

The Adoption Section of the Field Services Unit, under the direction of the Director of Community Services, is responsible for obtaining background and social information on applicant parents who wish to adopt children. This includes but is not limited to: conducting home studies, interviews with applicant adoptive parents, gathering of medical data on adoptive parents, gathering social history of child, placement of child and post placement supervisory visits, and final order of adoption.

This file contains the following documents (include form numbers and titles, if any, and file arrangement).

Documents relating to the investigation and summation of the background, the social and the medical histories of the adoptive parents and child.

(See Continuation Sheet)

ATTACH SAMPLES OF THE FILE

| EQUIPMENT ACQUIRED | No. of Drawers | No. Pl. of Records | ANNUAL RATE OF ACCUMULATION | No. of Drawers | No. Pl. of Records |
|--------------------------|----------------|--------------------|------------------------------------|----------------|--------------------|
| Letter-size File Drawers | | | | 75 | 125 |
| Legal-size File Drawers | 222 | 333 | Floor Space Occupied (Square Feet) | 315 | |
| | | | | This Year's | Last Year's |
| | | | AVERAGE DAILY REFERENCES yearly | 3800 | 3800 |
| | | | | 100 | 10 |

QUESTIONNAIRE

13. Is this the Record Copy of the series? ☒ [X]
14. Is there a duplication of this series in another office or agency? ☐ [] ☒ [X]
15. Is the information contained in this series ever summarized or published?
Attach copy of summary or publication. ☐ [] ☒ [X]
16. Does the series contain classified information requiring security handling? ☒ [X] ☐ []
17. Does the series initiate, amend or terminate agency policies and procedures? ☐ [] ☒ [X]
18. Could the function be performed if the files were lost or destroyed? ☒ [X] ☐ []
19. Is the series (or major portion of it) regularly microfilmed? If yes, why? ☐ [] ☒ [X]
20. Does the record series provide data as input to an EDP file? ☐ [] ☒ [X]
21. Does the record series contain documentation produced as EDP printout? ☐ [] ☒ [X]
22. Has the Federal Government issued instructions governing the retention/disposition of these files? ☐ [] ☒ [X]
23. Will there be a need for these records 10, 15 years from now? If yes, what? ☒ [X] ☐ []

24. REQUIREMENTS. The following requires the files to be kept 100 years:

- a. ☒ STATE LAW b. ☐ STATUTE OF LIMITATION c. ☐ AUDIT PERIOD d. ☐ FEDERAL LAW e. ☒ ADMINISTRATIVE DECISION f. ☐ HISTORICAL VALUE
- (Cite Law, Statute, or other reason for the retention requirement)

Miss Catherine Boling

25. AGENCY RECOMMENDATIONS. This agency recommends that the file series be cut off at the end of _____, then:

Cut off file at end of each Calendar Year; then
Hold in current files area 3 years; then microfilm and destroy paper file.
Retire one microfilm file to State Archives, hold 97 years; then destroy.
Hold one copy of microfilm, in current files area until obsolete or no longer needed for reference.

(Indicate briefly rationale for recommendations above/or write additional remarks):

| Records Management Officer (Signature) | Date | OTHER REQUIRED SIGNATURES | DATE |
|---|--|---|---------------------------------------|
| <i>Douglas M. Hearn</i> | 3-7-73 | | |
| 6. Recommendations in paragraph 25 are: | <input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved <input type="checkbox"/> Approved <input type="checkbox"/> Disapproved <input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved <input type="checkbox"/> Approved <input type="checkbox"/> Disapproved | <i>Catherine Boling</i> <i>William M. Hearn</i> <i>Carroll Hart</i> <i>Robert H. Hearn</i> | 3-8-73 3-9-73 4-30-73 5-9-73 |

STATE RECORDS
COMMITTEE